

ORIGINAL

NEW APPLICATION



0000099036

BEFORE THE ARIZONA CORPORATION COMMISSION

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COMMISSIONERS

2009 JUN -2 P 1:14

KRISTIN K. MAYES, Chairman
GARY PIERCE
PAUL NEWMAN
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ARIZONA CORPORATION COMMISSION
DOCKET CONTROL

In the matter of

RBC CAPITAL MARKETS
CORPORATION
One Liberty Plaza
165 Broadway
New York, NY

Respondent.

DOCKET NO. S-20684A-09-0281

FILING TO OPEN DOCKET

The Securities Division of the Arizona Corporation Commission requests that a Docket be opened for the purpose of assigning a docket number to a proposed Order to Cease and Desist, Order for Administrative Penalties, and Consent to Same by the above-referenced respondent.

Respondent's mailing address is:

One Liberty Plaza
165 Broadway
New York, NY 10006-1404

Dated this 2nd day of June 2009.

ARIZONA CORPORATION COMMISSION

By

Cheryl T. Farson
General Counsel for the Securities Division
of the Arizona Corporation Commission

Arizona Corporation Commission

DOCKETED

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DOCKETED BY

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